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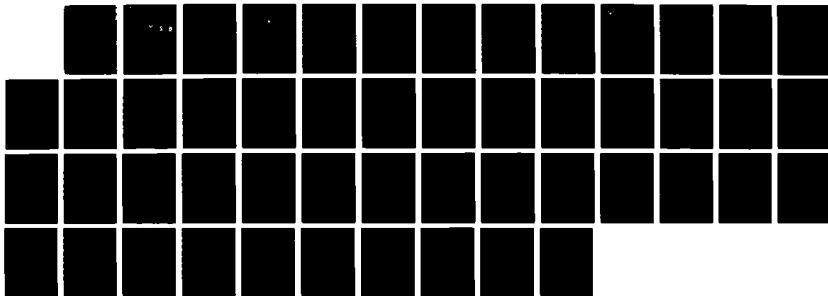
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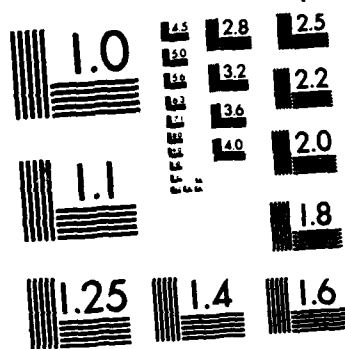
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STUDENT REPORT

MANAGING INNOVATION IN A BUREAUCRACY:
A CASE STUDY

Major Mark R. Johnson

87-1355

"insights into tomorrow"

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87-1355

TITLE

**MANAGING INNOVATION IN A BUREAUCRACY:
A CASE STUDY**

AUTHOR(S)

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**Submitted to the faculty in partial fulfillment of
requirements for graduation.**

AIR COMMAND AND STAFF COLLEGE

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PREFACE

This study is being submitted to the faculty of Troy State University at Montgomery in partial fulfillment of the requirements for the Master of Science degree in Personnel Management.

The main purpose of this study is to investigate the utility of the Model Installation Program (MIP) as a tool for promoting innovation within the Strategic Air Command. Additionally, it is to scrutinize historic data generated under current MIP policies and procedures for trends that significantly promote or undermine the achievement of MIP goals, and to recommend improvements to better meet the MIP objectives. A full and widespread understanding of this program by all members of the Air Force is necessary to properly accept and manage the innovative ideas it produces. This study is part of the educational process in developing the program's potential.

The author is extremely grateful for the assistance provided by Captain Cynthia Islin and SSgt Brenda Wells of the Model Installation Program office at Fairchild AFB, Washington, without whom this project would have been impossible. I also would like to take this opportunity to recognize Colonel James W. Meier, Commander, 92 Bombardment Wing, Fairchild AFB, for his outstanding support for the MIP program and the innovative ideas produced by his troops. I also commend the MIP personnel assigned to Headquarters, Strategic Air Command, and Headquarters, Air Force, for their support in this effort. Finally, I would like to thank Major Tim Krull and Mr. Dennis Gibson, whose guidance and suggestions were critical to the success of this project.



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ABOUT THE AUTHOR

Major Mark R. Johnson graduated from the University of Texas at Austin in 1973 with a Bachelor of Arts degree in Mathematics. Upon graduation, he was commissioned through the Air Force ROTC program and was assigned to Undergraduate Pilot Training. He subsequently attended Combat Crew Training as a KC-135 copilot at Castle AFB, California. His first operational assignment began in 1975 at Seymour-Johnson AFB, North Carolina, flying the KC-135 Stratotanker. In 1976, he was assigned as Chief of the Budget and Management Analysis division for the 68th Bombardment Wing at Seymour-Johnson AFB. In 1978, he returned to crew duties in the KC-135 and served as aircraft commander, instructor pilot, and training flight instructor. In 1980, he was reassigned as a Combat Crew Training School instructor at Castle AFB, and was selected for instructor duty in SACs Central Flight Instructor Course. He was subsequently assigned to Headquarters, Strategic Air Command, Directorate of Tanker Operations, as the Chief, KC-135 Future Training Programs, where he provided operational expertise and direction for training and simulator acquisition programs. In 1985, he was reassigned to the Directorate of Training, as the Chief of C-135 Training Development, where he directed the development of training for all models of the C-135 aircraft, and designed the initial training plan for the KC-135R aircraft. Major Johnson is a Senior Pilot, with approximately 3000 hours of flying time in both the KC-135A and KC-135R, and 1600 hours of instructor time.

He was assigned to the Air Command and Staff College as a student in August 1986, and is currently completing requirements for a Master of Science degree in Personnel Management from Troy State University at Montgomery.

TABLE OF CONTENTS

Preface.....	iii
About the Author.....	iv
List of Illustrations.....	vi
Executive Summary.....	vii
CHAPTER ONE--INTRODUCTION	
Introduction.....	1
Background.....	2
Statement of the Problem.....	4
Purpose of the Study.....	4
Need for the Study.....	4
CHAPTER TWO--FACTORS BEARING ON THE STUDY	
Delimitations of the Study.....	6
Limitations of the Study.....	6
Central Questions.....	7
Basic Assumptions.....	7
Definitions of Terms.....	8
CHAPTER THREE--PROCEDURES	
Source Data: MIP Goals and Guidelines.....	9
Treatment of Source Data.....	10
Data Collection.....	10
Test Sample.....	11
Treatment of Test Sample Data.....	12
Test Items.....	12
Data Analysis.....	13
CHAPTER FOUR--RESULTS AND DISCUSSION	
Are All Targeted Groups Participating in MIP?.....	15
Are All Bureaucratic Levels Receptive to MIP?.....	20
Are MIP Proposals Approved/Disapproved IAW DoD Guidelines?..	24
Do MIP Policies Encourage Innovation in the Face of Risk?..	26
Does MIP Achieve Its Objective?.....	27
Can MIP Be Improved? If So, How?.....	29
CHAPTER FIVE--SUMMARY, CONCLUSIONS AND RECOMMENDATIONS	
Summary.....	30
Conclusions.....	31
Recommendations.....	32
BIBLIOGRAPHY.....	33
APPENDIX.....	37

LIST OF ILLUSTRATIONS

FIGURES

FIGURE 4.1--Participation by Groups.....	16
FIGURE 4.2--Military Participation.....	17
FIGURE 4.3--Organizational Participation.....	18
FIGURE 4.4--Types of Submissions.....	19
FIGURE 4.5--Wing Level Evaluation.....	21
FIGURE 4.6--Headquarters Approval Rates.....	22
FIGURE 4.7--Approval Rates By Risk Category.....	27
FIGURE 4.8--Disposition of Sampled MIPs.....	28



EXECUTIVE SUMMARY

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REPORT NUMBER

87-1355

AUTHOR(S)

MAJOR MARK R. JOHNSON, USAF

TITLE

MANAGING INNOVATION IN A BUREAUCRACY: A CASE STUDY

I. **PURPOSE:** The purpose of the study was to investigate the utility of the current Model Installation Program as a tool for managing innovation within the Strategic Air Command and the Air Force.

II. **PROBLEM:** The MIP program was conceived at the Department of Defense level, yet, it is totally dependent on "grass roots" understanding and support of the entire concept. The military, like every large bureaucracy, has mechanisms in place to reduce the risk of error by making each initiative survive hurdles at each approval level. The MIP attempts to circumvent those mechanisms, on a limited basis, to quickly test promising ideas--even at the risk of failure. Any single level of the bureaucracy not understanding the MIP concept could conceivably negate many of its benefits. Therefore, a bottom-up and top-down review of the process was merited.

III. **DATA:** One hundred MIP submissions from Fairchild AFB, Washington, were sampled. Each of these MIP suggestions was tracked from submission to disposition. Statistics were noted on participation and support of MIP at several echelons of command. Results were compared to MIP objectives, and shortfalls were explored through procedural review.

CONTINUED

IV. CONCLUSIONS: The Fairchild AFB MIP sample indicates that overall, the program is achieving its objectives in an outstanding manner. Some changes could be made to improve participation, standardize procedures, and provide more insight into the disapproval process to facilitate more extensive analysis.

V. RECOMMENDATIONS: Four recommendations arose from this study. First, broader-based research should be conducted to get a DoD perspective on the problem of instilling innovation into the military bureaucracy. Second, a small study should determine how to better solicit participation from targeted groups that currently are not participating in the program. Third, alternatives should be developed for the current withdrawal process. Fourth, disapproval rationale should be retained with the original MIP to facilitate subsequent review, appeal and analysis.

Chapter One

INTRODUCTION

How can a bureaucracy, such as the military, respond to continued demands for increased productivity and efficiency in an environment that "has a bias against action and for delay" (4:16)? "Anyone who has attempted to overcome the inertia that thrives in large, complex organizations, recognizes the difficulty in bringing timely, innovative ideas to fruition in such an environment" (3:3). The challenge for the large bureaucracy, then, is to accommodate, even stimulate innovative thinking that can result in the desired productivity and efficiency.

The Model Installation Program (MIP) is an experiment in decentralizing the mechanism that bureaucratically regulates innovation. It was designed to improve military installation management by removing impediments to efficiency and encouraging innovation (18:736-737). The program could be called a bureaucratic "skunkworks"--a term Thomas Peters and Nancy Austin used in A Passion For Excellence to describe small subsets of organizations that were encouraged to explore innovative ideas even at the risk of failure (1:xi). The potential success of this military experiment may lead to a new era in bureaucratic management--an era where creative action is preferred to the

safety of inaction; where duplication of effort that produces healthy competition is not condemned; where managers are required to produce, and are then properly rewarded for success; where the system is responsive; where stewardship of public funds is instinctive; and where arriving at the "right" decision is paramount to arriving at the decision "right." The MIP program strives to accomplish each of these goals within the system that would normally strangle it. Can it survive?

BACKGROUND

The MIP was a culmination of proposed responses to criticism from the General Accounting Office and the Defense Audit Service stating that inefficiency existed in the Armed Forces' management of military base support functions. The reports had generated demands from Congress, the Office of Management and Budget, and other governmental bodies to achieve installation management savings (13:--). Three documents published in 1982-3 forged the MIP concept. The first, a December 1982 memorandum from Deputy Secretary of Defense Carlucci, directed the military to look into contracting a civilian agency to own and operate military installations worldwide. In response, Headquarters Air Force, Plans and Programs (AF/PR) conducted a study to develop the Air Force position on Mr. Carlucci's proposal. On 15 May 83, AF/PR published the Air Force Installation Management Study that concluded that the local commander, not a civilian agency, must control base support functions if the Air Force is to be an

effective fighting force (14:1). The third document that influenced MIP was the book, In Search Of Excellence by Peters and Waterman. It provided the inspiration for MIP within its description of lessons learned from the best run American corporations (14:2).

MIP was conceived by Deputy Assistant Secretary of Defense for Manpower, Installations and Logistics (Installations), Mr. Robert A. Stone, in the summer of 1983. He envisioned a program that would find innovative ways to manage installation support activities more efficiently without degrading the military mission and without a significant investment outlay. Units would be enticed and motivated to participate because they would be allowed to keep the initial monies saved, and in turn, use that money to make installation improvements (14:2). The program called for managers at each level of command to work closely with the installation commander and support his quest for innovative solutions to managerial problems (15:1).

MIP itself worked its way through the bureaucratic red tape without many problems. The guidelines for MIP were staffed, and in October 1983 Deputy Secretary of Defense Thayer invited the services to participate in the program. By December, the Strategic Air Command (SAC) formalized its MIP implementation plan, and on 1 Jan 84 the program began. On 1 Jan 85, Fairchild AFB (FAFB), Washington, was invited to participate in the program (16:--). Since then, FAFB participants have submitted over 1000 MIP proposals and over 600 were forwarded to higher echelons for

approval consideration. They currently receive almost 60 new MIP proposals each month (7:--).

STATEMENT OF THE PROBLEM

This study investigates the utility of the Model Installation Program as a tool for promoting innovation within the Strategic Air Command.

PURPOSE OF THE STUDY

The purpose was to analyze historic data for trends that significantly promote or undermine the achievement of MIP goals and guidelines. Additionally, it was to determine the utility of current MIP policies and procedures and recommend improvements, if required, to better meet the MIP objectives.

NEED FOR THE STUDY

The Strategic Air Command, the Air Force, and the Department of Defense have implemented the Model Installation Program in a sincere attempt to slash through red tape and remove institutional barriers to efficient operations (9:--). A product of innovative thinking at the top--designed to promote innovative thinking at the bottom--the MIP concept is unique in its potential as a catalyst for bureaucratic change, as well as in its potential for misinterpretation of the original policy statements as they "filtered" down through the system. It is important, therefore, to look at the program objectives and compare them to actual program performance--looking at not only

what has been accomplished, but what can be accomplished with the program. These program objectives must be stated clearly, and be supported at all echelons in the military. Without the support of program ideals from top to bottom, the program will not succeed. Failure to instill innovative thinking is a luxury the military can not afford. Budget restrictions, combined with a real need to maintain readiness and armament, dictate innovative management of scarce resources. Harold Williams, in an article written for The Bureaucrat, states, "We can probably muddle through for the next 20 or 30 years, but at some time in the future the ability of our government to function at even a very low level of competence may well cease" (4:21). In a productivity article, David Braunstein echoed, "The message is clear: the United States cannot continue to do business as it has done for the last several decades. As a nation, we must adapt, adjust, and change to survive" (2:37). This need to instill an innovative spirit in the military portion of the government bureaucracy justifies the study of the policy, procedures, and results of the program designed to achieve that objective.

Chapter Two

FACTORS BEARING ON THE STUDY

DELIMITATIONS OF THE STUDY

The study was delimited to:

1. One hundred MIP suggestions submitted at Fairchild AFB, Washington, submitted during the first quarter of 1986.
2. Submissions reviewed included ideas that were ultimately recommended for full adoption, as well as those failing to meet initial approval.

LIMITATIONS OF THE STUDY

The findings of this study were limited by the following factors:

1. The generalizability was limited to the first 100 submissions from Fairchild AFB, Washington, during 1986.
2. All proposals were submitted by Strategic Air Command personnel or their dependents, and therefore represent a limited perspective with respect to the Air Force and the Department of Defense.
3. All proposals were submitted by members of an installation that has an active Bomb Wing organization, and therefore

the proposals represent a limited perspective with respect to the Strategic Air Command.

4. The limited sample size had some potential to be atypical of MIP submissions in general.

5. The 100 MIP submissions may not have been representative of Fairchild AFB's submissions over the duration of the MIP test period. Reliability was addressed by comparison to Fairchild program percentages, where available.

CENTRAL QUESTIONS

The central questions to be answered in this study were:

1. Are all targeted groups participating in the MIP program?
2. Are all echelons of military command receptive to innovative suggested by a MIP installation commander?
3. Are MIP proposals approved and disapproved in accordance with Department of Defense guidelines?
4. Do MIP policies and procedures encourage innovation in the face of potential risk?
5. Does MIP achieve its stated objective?
6. Can MIP be improved? If so, how?

BASIC ASSUMPTIONS

The following assumptions were made concerning this study:

1. The sampled MIP records accurately reflect the approval and disapproval process and rationale of the evaluators.
2. Each MIP proposal was valid and submitted in good faith.

3. The MIP proposals evaluated were representative of the MIP proposal population as a whole (when verifying statistics were not available).

4. All evaluators of MIP suggestions knew and acted based on their understanding of MIP objectives, policies and guidance.

5. Each MIP proposal was understood by the evaluator.

DEFINITION OF TERMS

Interpretations of the following terms for this study were:

1. MIP Guidance--statements of public record, written or oral, made by officers charged with implementing the MIP program.

2. MIP Approval--Commander of the designated approving echelon has agreed to allow the MIP installation to implement a suggested program on a test basis.

3. MIP Proposal--an idea, suggestion, or process submitted under Model Installation Program policies, guidance, and rules.

4. Implementation Level--the degree to which an approved and tested MIP proposal is implemented throughout the military.

5. Waiver--official approval to deviate from guidance provided in governing regulations.

6. Withdrawal--submitter requests approval deliberations on his proposal cease, and that no further action be taken unless resubmitted.

7. Disapproval Rationale--official reason stated on MIP record for disapproval of the testing of a MIP proposal.

Chapter Three

PROCEDURES

The purpose of the study was to analyze historic data for trends that promote or undermine the achievement of MIP goals and guidelines. The procedures used to collect and analyze the data are described in this chapter. The chapter contains a description of the source data and treatment of MIP objectives, and an explanation of selected test items and the data analysis process used in this project.

SOURCE DATA: MIP GOALS AND GUIDELINES

Source information for MIP goals and guidelines was extracted from Department of Defense (DoD), Strategic Air Command (SAC), and Fairchild AFB (FAFB) documents. The DoD perspective was taken from a September 1983 document titled "Model Installation Program" written by the Deputy Assistant Secretary of Defense for Manpower Installations and Logistics (Installation), DASD/MIL(I), with Headquarters Air Force Plans and Programs (AF/PR) participation (5:--). SAC perspective on program goals was extracted from documents generated by the SAC Historian's office (19:--). Base level perspective was determined from the FAFB Model Installation Program Operating procedures dated July 1986 (6:--).

TREATMENT OF SOURCE DATA

MIP source documents provided the goals, and in some cases, guidelines for achieving MIP objectives. The guidance articulated at the various bureaucratic levels was initially reviewed for consistency. The resultant policies were then scrutinized against FAFB historical data to provide a second, result-oriented perspective of the various layers of policy and procedures. Ultimately this review would suggest if, and where, policy improvements might be appropriate.

DATA COLLECTION

The data required to make the observations necessary to answer the central questions of this study were collected in four stages. Stage 1 consisted of acquiring policy and procedures documentation from the major bureaucratic levels of the MIP process--Wing, MAJCOM, AF, and DoD. Stage 2 was the collection of copies of the first 100 MIP submissions of 1986 from FAFB. In Stage 3, the critical connection between the local FAFB numbering system and the higher headquarters tracking system was determined to allow start-to-finish tracking of individual submissions. Stage 4 acquired the evaluation and recommendation information at each bureaucratic level and determined disapproval rationale whenever possible. The resultant data was compiled into a single database to facilitate a "big picture" view of each individual MIP submission, as well as the sample as a whole.

TEST SAMPLE

The sample data tested consisted of the first 100 MIP submissions by FAFB for 1986. The limited sample size was consistent with the objectives of this paper. That is, to suggest policy areas which might be improved in the future--not to prove statistically that improvement is required. Source material for the test sample was extracted from original FAFB MIP submissions, FAFB MIP status reports, and SAC MIP status reports. Data extracted from these documents included:

- 1) FAFB MIP number
- 2) FAFE forwarding number
- 3) SAC assigned number
- 4) Title of MIP
- 5) Title of submitter
- 6) Organization of submitter
- 7) FAFB recommendation
- 8) Numbered Air Force recommendation
- 9) SAC recommendation
- 10) AF recommendation
- 11) Disposition
- 12) Decision level
- 13) Rationale (when available).

Additionally, proposed benefits of each MIP were categorized and reviewed.

TREATMENT OF TEST SAMPLE DATA

Component data from each MIP was extracted from the various documents was pieced together and reformatted into a database for ease of handling and cursory analysis. A copy of the resultant database is found at Appendix A. Data was not subjected to hard analysis (statistical) as this was neither necessary nor consistent with this paper's objective. Generalizations, in the form of observations, were made whenever possible to introduce possible statistical linkages to the parent policy guidance (non-quantifiable). Observations were limited to areas that would shed some light on the central questions presented earlier in this paper. Numerical support of the observations leading to the answers to the central questions of this paper are documented in the next chapter.

TEST ITEMS

This study consisted of two observation tests that were used to assess whether or not MIP achieves its stated objective and answer the central questions of this study. The tests measured 1) breadth of participation, and 2) bureaucratic support of proposals contained in the test sample.

Breadth of Participation Observations

This test actually had four areas of observation. The first looked for trends in the groups of people submitting MIP proposals and compared the findings with the stated target groups. The second looked at the organizations submitting MIP

proposals. The third looked at the rank or titles of the individuals submitting MIP proposals. Both the second and third tests were conducted to identify any groups that may not be represented, with an eye toward tailoring future MIP enhancements to specifically encourage their participation in the innovative process. The final observations determined the breadth of the types of benefits contained in MIP proposals, and included a comparison to the program objectives.

Bureaucratic Support Observations

This test consisted of four areas of observation. First, MIP recommendations were observed for any anomalistic tendencies at the various review levels of the MIP process. Second, the approval and disapproval decision level was reviewed for any identifiable trends, and the resultant recommendations were compared to DoD approval and disapproval policy statements. The third set of observations reviewed the approval and disapproval rates of the various categories of MIP submissions with a look at innovation in the face of risk. The final area observed the approval and disapproval mechanics for indications of any guidance that may inhibit the innovative process.

DATA ANALYSIS

This study examines the impact of specific policies and procedures at the grass roots level of the MIP process. This is accomplished by compiling critical pieces of data extracted from the actual submissions and their follow-on paperwork.

This cross-sectional perspective of the entire MIP process provides insight that can not be achieved through bottom-up nor top-down perspectives individually. This insight paints an accurate, albeit qualitative, picture of how the MIP policies have been translated into a locally administered program when viewed through the sample data. Thus, the process reveals answers to the central questions of this study. It also serves as a springboard for future, broader based studies including statistical analysis to confirm or refute conclusions derived from the relatively small sample size of this study.

The observable information derived from the "big picture" perspective of the database provides the basis to answer initial questions of the study. That is: 1) Are all targeted groups participating in the MIP program? 2) Are all levels of military command receptive to innovation introduced by a MIP installation commander? 3) Are MIP proposals approved and disapproved in accordance with the original (stated) intent provided in DoD guidelines? and 4) Do MIP policies and procedures encourage innovation in the face of potential risk? These answers, in turn, provide an overall framework within which one can assess the effectiveness of current MIP policies and identify areas of recommended study, improvement, or both (subject to the stated limitations of this study).

Chapter Four

RESULTS AND DISCUSSION

The effectiveness of current MIP policies and procedures in promoting bureaucratic innovation was investigated in this study. The researcher presented a number of central questions to be answered through the study of a limited sample. The answers to these limited perspective questions ultimately provide answers to the broader question of program effectiveness. This chapter presents the observations taken from the sample data that apply to the central questions of this study, and discusses each of the findings. The findings and discussion are presented in the order, and under the subtitles, of each central question.

ARE ALL TARGETED GROUPS PARTICIPATING IN MIP?

Both DoD and AF MIP guidance encourage total participation by the base community (10:--). AF guidance specifies "all base personnel, military, civilian and family members are encouraged to participate in the Model Installation Program" (16:4). The Fairchild sample was examined to determine various participation breakouts. Participation was determined by status of submitter, title of submitter, organization of submitter and type of submission. Participation rates from the sample are depicted in Figures 4.1, 4.2, 4.3, and 4.4.

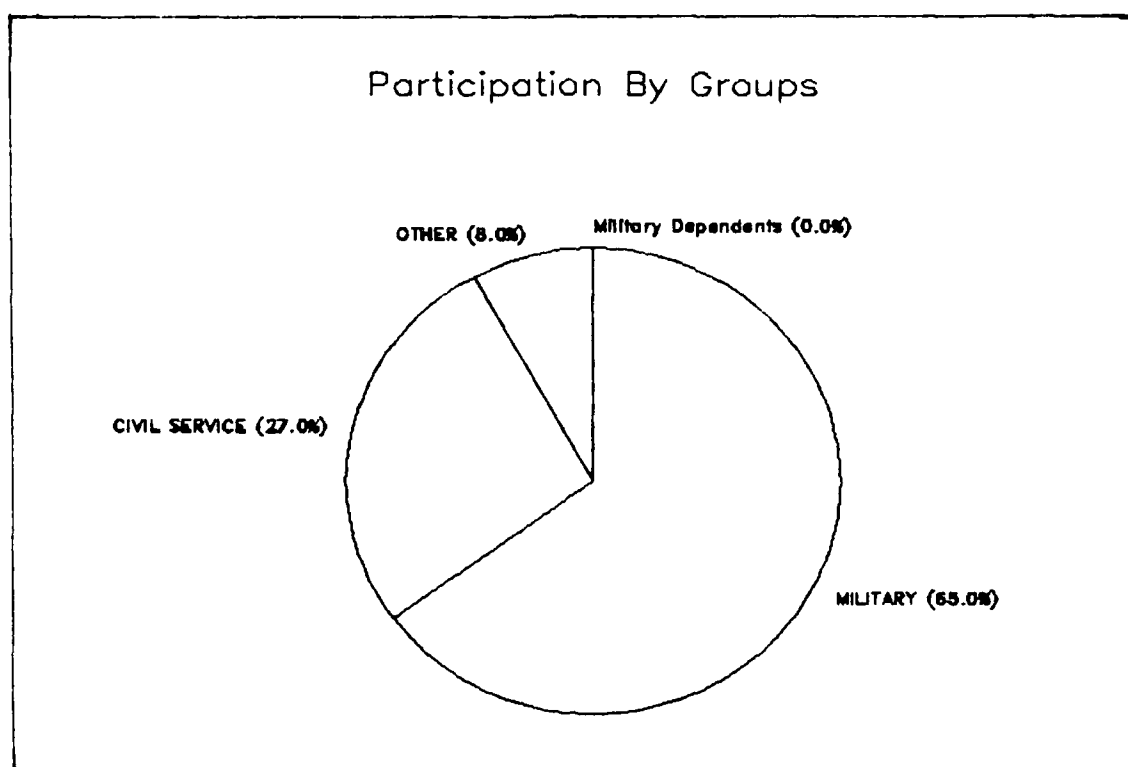


Figure 4.1 Participation By Groups

In Figure 4.1 note that military participation accounts for about 65% of the total MIP submissions in our sample. Civil Service employees accounted for an additional 27% and "piggyback" suggestions from other bases accounted for the other 8 percent. Of interest to the study is the absence of participation by the non-military family members from the base. As one of the target groups, this large sector of essentially non-military oriented thinkers represents a large untapped source of innovative ideas.

Figure 4.2 presents the breakout of military participation by pay grade. Note the strong participation in the middle grades of both the officer and enlisted ranks, and the relatively low

participation by the upper and lower extremes of each rank structure. There are many possible explanations for the limited participation by these two groups, including the relatively small size of these pay grades. Nevertheless, they do represent a DoD targeted group of innovative thinkers that rarely contributed.

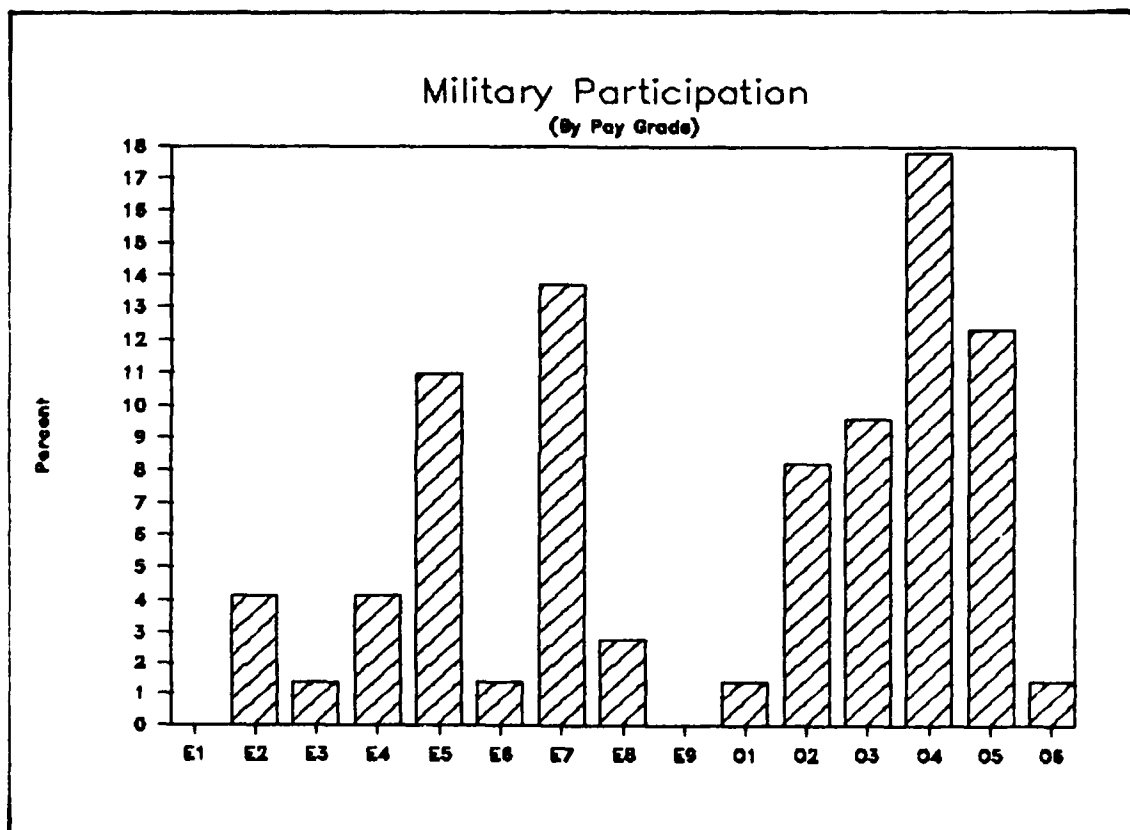


Figure 4.2 Military Participation

Figure 4.3 provides a breakout of organizational participation in the MIP sample. It should be noted that virtually every major organization at FAFB is represented. The high MIP rates achieved by the Directorate of Operations (DO), Civil

Engineering (DE), and the Directorate of Logistics and Maintenance (LG & MA) are consistent with the size and high potential of MIP-oriented issues facing these groups.

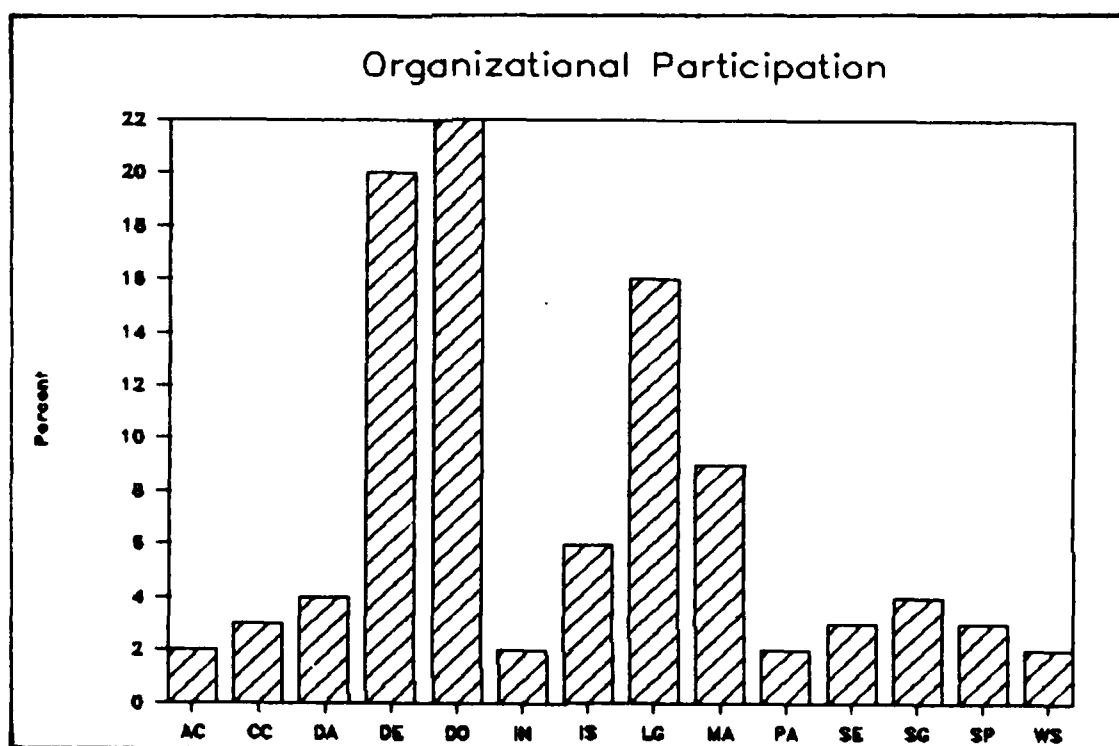


Figure 4.3 Organizational Participation

Finally, in Figure 4.4, the MIP submissions are categorized for comparison to MIP objectives. The DoD targeted objectives of the MIP program lie in the areas of decentralization of authority, improved efficiency, elimination of redundancy, reduced cost, and an overall improvement in the quality of life for members of a MIP installation (5:4). The sample submissions matched the targeted areas at least 95% of the time. If safety considerations were grouped with efficiency or cost reduction,

the figure would rise to 100 percent. It is evident that the MIP objectives have been clearly disseminated to the participants in the sample, and that the submissions are properly focused.

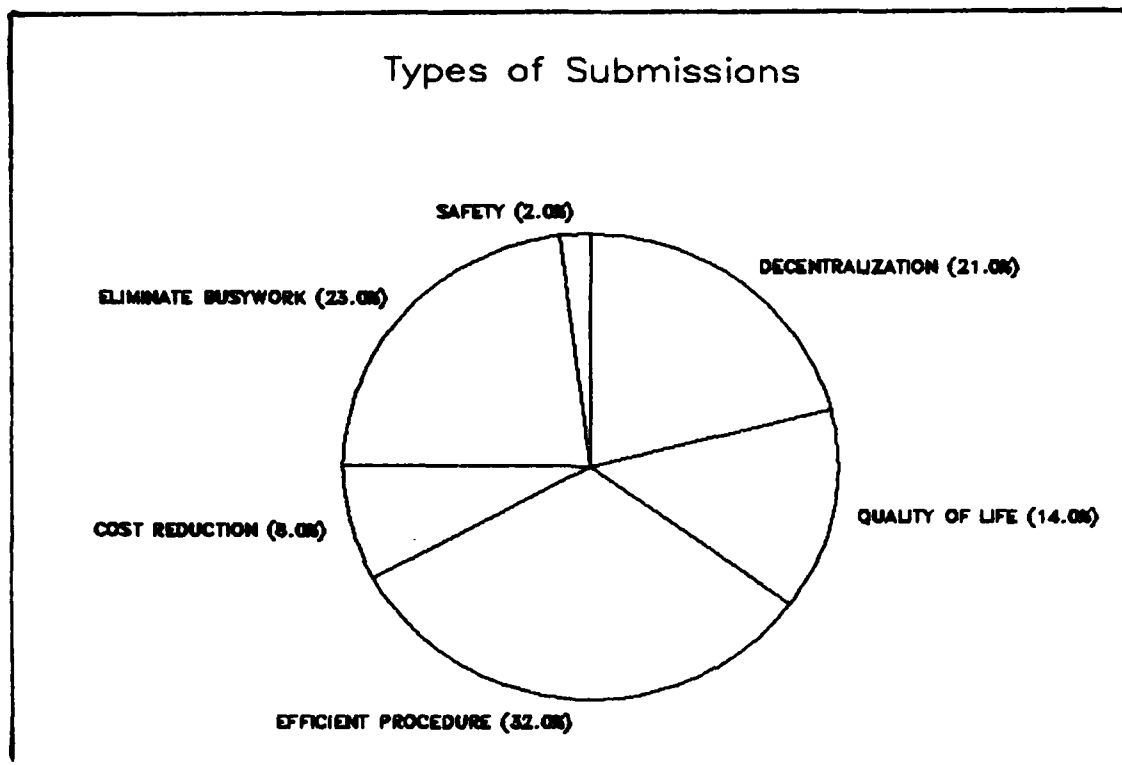


Figure 4.4 Types of Submissions

In summary, the participation observations disclosed that although the MIP concept has not yet spread to all base members, the program is broad-based and properly focusing innovative energy to achieve DoD program objectives.

ARE ALL BUREAUCRATIC LEVELS RECEPTIVE TO INNOVATION
PROPOSED BY A MIP INSTALLATION COMMANDER?

The issue explored by this question is not approval rates per se, but rather using approval rates to identify variances in standards or criteria for MIP approval. DoD policy directed MIP to encourage innovation by establishing MIP approval criteria responsive to the installation commander. Basic guidance was that submissions approved by the MIP installation commander should be approved to the maximum extent possible, and with a minimum of bureaucratic delay (5:4). The Deputy Assistant Secretary of Defense for Installations, Mr. Stone, summed up the DoD approval guidelines in this way: "If it's legal and possible, approve it" (11:--). The DoD MIP document basically stated that an approved MIP should not violate public law, eliminate civilian jobs, nor require increased funding. These, then, would constitute valid rationale for disapproving a MIP at an echelon above the MIP installation commander. It is noteworthy that the commander of the MIP installation is free to develop local criteria for the approval and disapproval of a MIP submitted at his base. This prerogative is proper and is not a subject of further discussion or investigation in this study.

Figure 4.5 provides the MIP disposition breakout at the local level. Of the 61 MIPs approved by the local commander, 58 were forwarded for final disposition at a higher level. The remainder of the discussion will center on the MIPs that were approved by the local commander and sent forward for further evaluation.

Of the 58 MIPs sent forward for further action, 42 were forwarded through the 15th Air Force (15AF) for Numbered Air Force (NAF) level evaluation. The 16 additional MIPs that were forwarded directly to SAC represented issues that did not pertain to 15AF, or "ME TOO" submissions--MIPs that had been previously approved at another MIP installation that FAFB wanted to use also. Additionally, SAC forwarded 17 proposals for evaluation at HAF. Approval rates for the NAF, as well as the other bureaucratic levels are listed in Figure 4.6 for comparison.

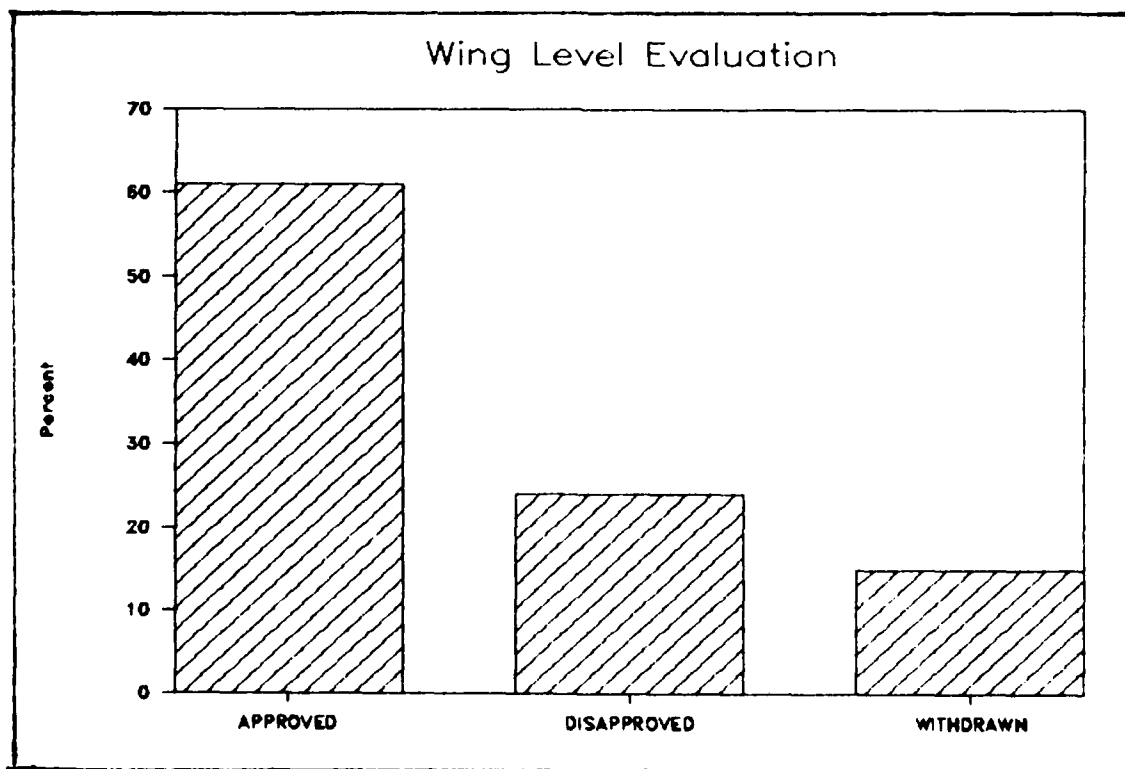


Figure 4.5 Wing Level Evaluation

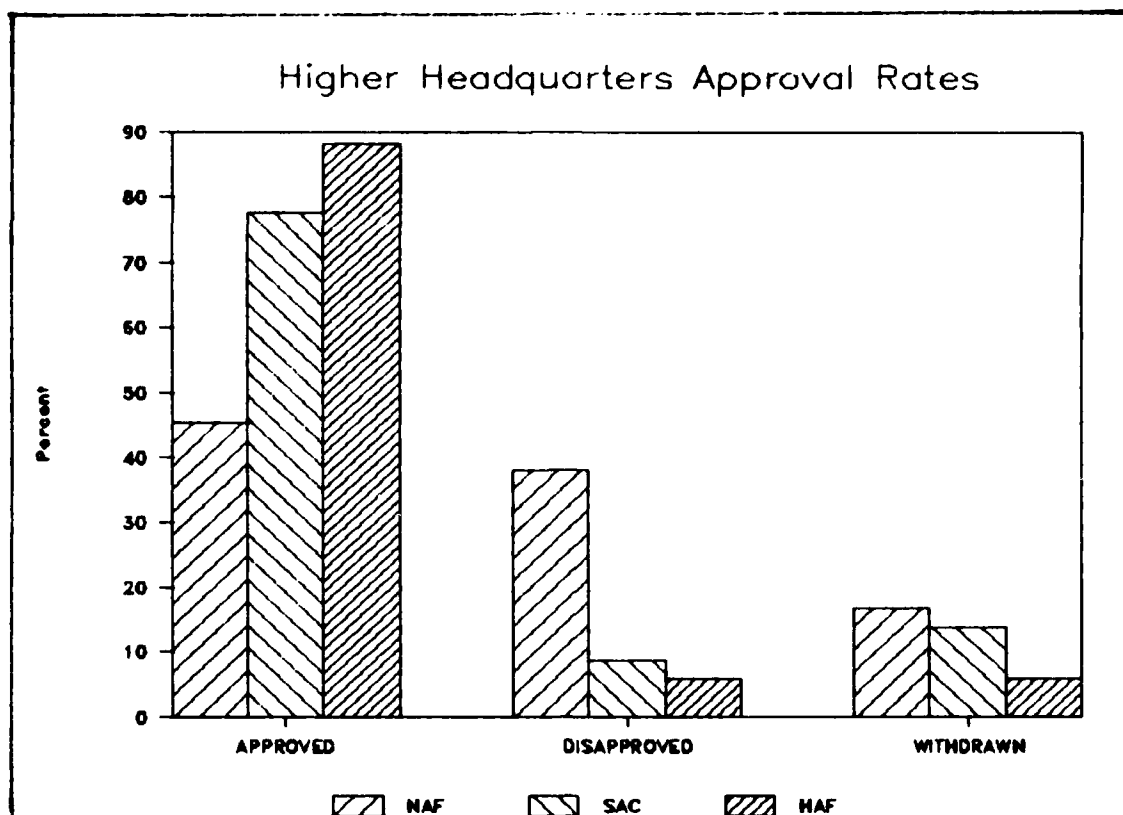


Figure 4.6 Headquarters Approval Rates

The disparity in the approval rates between the 15AF and the other levels is apparent, yet no conclusive reasons for the disparity could be derived by this study. Lack of documented approval rationale at the base level made further study out of scope for this paper. Speculation being unproductive, this disparity is merely noted as an anomaly in approval criteria at this level. It should also be noted that a 15AF position on a MIP is only a recommendation (unless it deals specifically with 15AF regulation) and that the ultimate decision lies either in SAC, AF, or DoD. SAC, in its review of the MIP proposals, upheld the 15AF recommendation 50% of the time in this sample.

SAC approval rates, also listed in Figure 4.6, and disapproval rationale indicated a willingness to support and promote innovation submitted by the MIP commander. It should be noted that approval versus disapproval ratios provide a rough standard of comparison between the various major commands in the Air Force (17:--). Indeed, the SAC approval rate compares favorably with the overall AF MIP approval rate (accounting for other commands) as well as the AF approval rate derived by this study (12:--).

The AF approval rate for the test sample was quite high, but consistent with its overall approval rate since the program's inception. HAF has supplemented DoD guidance by stating that it accepts MIPs forwarded from the major commands as the position of the Commander in Chief of that command (19:7). Therefore, it is very prone to approve any MIP that meets the DoD criteria unless there is movement at the 4-star general officer level (or higher) to disapprove the proposal.

In summary, the approval rate tends to increase as the levels increase. This could occur because the forwarded MIPs have previously met with local scrutiny, or because the higher headquarters evaluators realized that approval and disapproval of the MIP tests rests squarely on the shoulders of the MIP installation commander. The anomaly of 15AF disapproval rates, despite having identical standards for approval and disapproval as SAC and the AF, potentially merits future attention.

ARE MIP PROPOSALS APPROVED AND DISAPPROVED
IN ACCORDANCE WITH DOD GUIDELINES?

MIP disapproval rationale, when available, was reviewed for conformity to DoD guidelines. In virtually every documented case, disapproval sighted one of the previously mentioned tenets of DoD disapproval criteria. At first look, it appears that each decision level fairly applies and correctly interprets DoD guidance in arriving at the MIP disposition. However, it was noted that MIPs withdrawn prior to disposition do not adversely impact a Command's approval rate in the official reporting system. The fact that the withdrawal rate (after a MIP has been approved and forwarded by the MIP commander) exceeded the disapproval rate in the test sample, draws attention to withdrawal procedures (See Figure 4.6). FAFB MIP Operating Procedures state that "only the submitter may withdraw his own proposal" (6:i). The inference is that the submitter "owns" his idea and may withdraw his MIP even after approved and forwarded by the Wing Commander to headquarters for disposition. This written policy appears to be a permutation of the AF and DoD positions that once a MIP is approved, the approving authority "owns" the MIP and the right to withdraw the MIP rests at the higher level (19:7).

The high withdrawal rate merits further study. It is possible that MIPs have been withdrawn (no disapproval rationale is required) when disapproval could not conform to the stated DoD criteria. Risky or politically sensitive suggestions could be

eliminated without evaluation or higher level scrutiny through the withdrawal process. The researcher emphasizes that no evidence suggested that this activity is currently undertaken, however, it would be within the realm of possibility under the current procedures. The only implication is that the innovative process would be damaged by a flawed withdrawal system. Allowing easily accessible loopholes to avoid making decisions involving risk invites the normal bureaucratic protectionism to subvert the innovative process under the guise of risk-avoidance. Allowing this to happen would violate the intent, if not the letter, of DoD MIP guidelines. While there is no hard evidence that any pressure has, in fact, been brought from any headquarters reviewing officer, it was noted that a small number of withdrawn MIPs contained the annotation "withdrawn per instruction from HQ SAC" (8:I-E-1). This may represent merely a desire to eliminate wasted evaluation time on a proposal previously rejected in principle by the Commander in Chief of the Command; reflect an attempt to show high approval rates by eliminating "frivolous" suggestions; or could be the case of a risk-avoidance mechanism in the bureaucracy activating and circumventing the admittedly broad approval guidelines set forth by DoD. In any event, the withdrawal process merits further study and documentation.

DO MIP POLICIES AND PROCEDURES ENCOURAGE INNOVATION
IN THE FACE OF POTENTIAL RISK?

One of the DoD guidelines reads "The model installation is a laboratory,. . . ,there will be successes and failures. The possibility of failure should not deter the testing of risky ideas" (5:5). This series of observations acknowledged that individual MIPs carry with them varying degrees of risk--both to the implementor and to the approving authority. The review looked at the MIPs by category, separating substantive changes from paperwork or superficial changes, sensitive issues from universally popular themes, and determine if any patterns emerged that would indicate a double standard of approval based on perceived risk by the implementor, evaluator, or both.

The approval rates for each category of MIP (broken out by each echelon of review) are found in Figure 4.7. The relatively high risk MIPs were found in the areas of decentralization of authority, cost reduction, and changes dealing with procedural efficiency. Relatively low risks were associated with most MIPs dealing with improving the quality of life, reducing busywork, and improving safety.

There was no evidence of risk avoidance in the approval rates at any echelon of review or approval. In fact, the relatively low approval rate in the area of reducing perceived "busywork" was the only real surprise in the sampling. These relatively low risk suggestions were not embraced to any great degree by any echelon. In most cases, the "busywork" was cited as a crucial

piece of bigger issues that could not be eliminated because of increased net cost. It was apparent that risk-avoidance did not adversely impact approval rates in this sample.

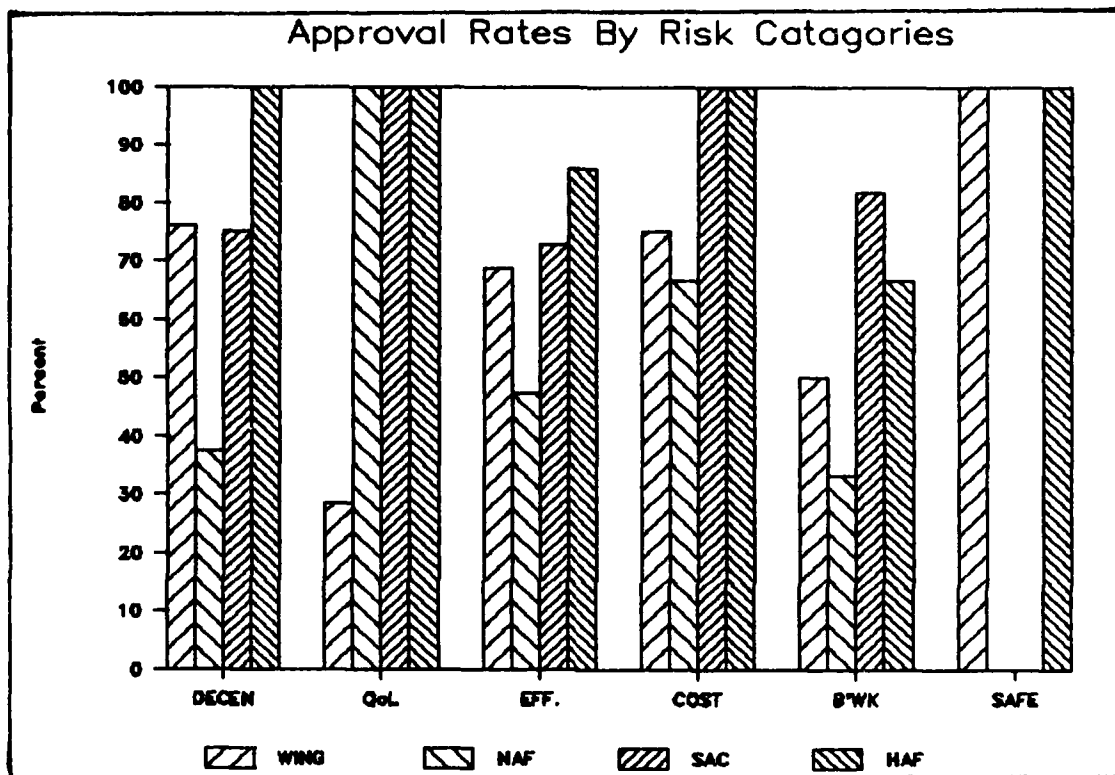


Figure 4.7 Approval Rates By Risk Category

DOES MIP ACHIEVE ITS STATED OBJECTIVE?

The answers to the four central questions addressed this far provide the basis for the answers for the final two. FAFB guidance states that the MIP objective is "to make our installations excellent places to live and work, to improve the management efficiency of providing base services, and increase effectiveness of the installation in performing its defense

mission" (6:i). This study provides an unqualified "yes" in answering the fifth central question--Does MIP achieve its stated objective?

Since January 1985, FAFB has processed well over 1000 proposals. Over six hundred of those were submitted to higher headquarters for waiver approval. Over 93% submitted have been approved (7:--). Against this background, the test sample is submitted as further evidence that the MIP experiment is indeed achieving its stated goals. Figure 4.8 depicts the outcome of the 100 MIPs used in this study. The approval of each MIP rapidly validates or disproves someone's innovative thinking under the test of actual trial. This kind of thinking that can, in David Braunstein's words, help the military and the nation ". . . adapt, adjust, and change to survive" (2:37).

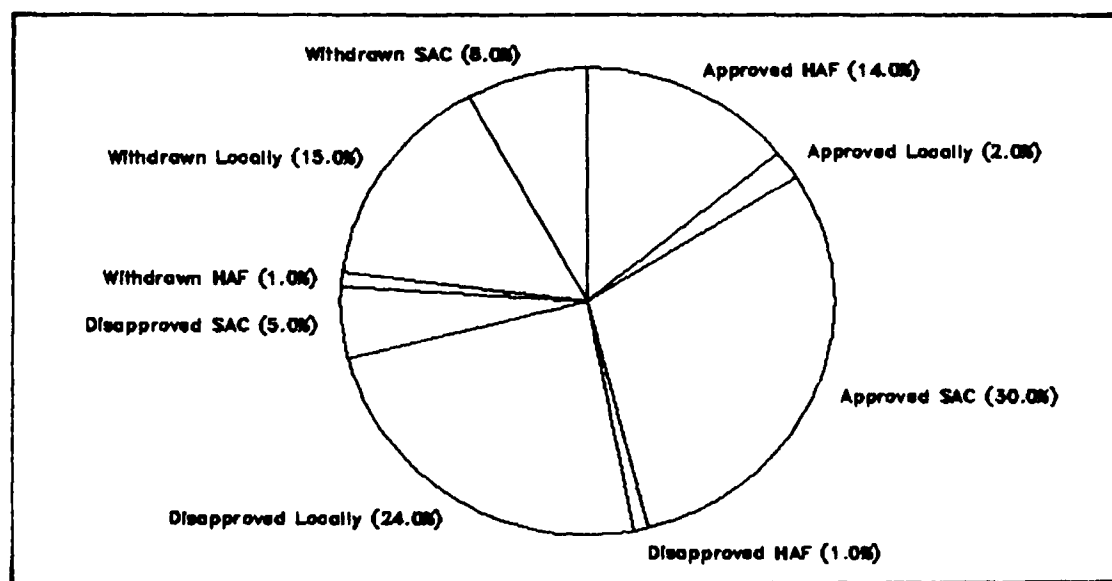


Figure 4.8 Disposition of Sampled MIPs

CAN MIP BE IMPROVED? HOW?

The final question of this study was, "Can MIP be improved?" The findings of this study pointed to four areas that could be improved. First, solicit participation by more groups of people, to include military dependents. Second, actively pursue the fresh ideas of the junior officer and enlisted ranks, and the reasoned thinking of senior officers and senior enlisted members to round out military contributions to MIP. Third, the withdrawal procedure should be reviewed and revised, if necessary, to insure that it serves the best interest of the program and upholds the MIP objective. Finally, disapproval rationale serves many purposes and should be retained for each disapproved or withdrawn MIP to facilitate review, appeal and program analysis.

Chapter Five

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

The purpose of the study was to investigate the utility of the Model Installation Program as a tool for promoting innovation within Strategic Air Command. Additionally, it was to scrutinize historic data generated under current MIP policies and procedures for trends that significantly promote or undermine the achievement of MIP goals, and to recommend improvements to better meet the MIP objectives. The contents of this chapter are presented under the following major headings: summary, conclusions, and recommendations.

SUMMARY

The first one hundred MIP submissions of 1986 from Fairchild AFB, Washington, were sampled. Information from every echelon of the program was compiled into a single database for examination. MIP guidance was used as a subjective standard for determining compliance with MIP policy. Statistics were compiled on the test sample and reviewed. Four central questions dealing with the subjects of participation, and the approval and disapproval mechanisms of the MIP, were answered based on data extracted from the test sample. Two more generalized questions dealing with program objectives and improvements were answered from the aggregate of

data compiled in previous testing. In all, the MIP program is achieving its objectives in an outstanding manner. Some changes could be made to improve participation, standardize procedures, and provide more insight into the disapproval process to facilitate future analysis.

CONCLUSIONS

The following conclusions are supported by the findings of this study.

1. The MIP program at Fairchild AFB is meeting the DoD established objectives.
2. Fairchild AFB has succeeded in creating an environment where innovative ideas flourish in the face of risk.
3. Current MIP guidelines and policies have been accurately disseminated at all echelons of command.
4. The MIP approval and disapproval process performs in accordance with DoD guidelines.
5. Fairchild AFB has involved all subordinate units in the MIP process.
6. Military dependents and some officer and enlisted grades were less prone to participate in MIP.
7. Fairchild AFB MIP submissions are properly focused on MIP objectives.
8. The MIP withdrawal process is subject to exploitation.

RECOMMENDATIONS

1. Broader based research should be conducted to get a DoD perspective on the problem of instilling innovation in the military bureaucracy.
2. A study should be undertaken to determine how to better solicit the innovative ideas of military dependents, junior and senior enlisted members, and junior and senior officers.
3. Alternatives should be developed for the current withdrawal process.
4. Disapproval rationale should be retained with the original MIP submission to facilitate review, appeal and analysis at a later date.

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APPENDIX

APPENDIX A -- Database Generated on Sampled MIP submissions from Fairchild AFB WA.....	37
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01/17/87

MODEL INSTALLATION PROGRAM
Fairchild AFB Washington
First 100 MIPs of 1986
(AS OF 2 JAN 87)

LOC	HHQ	SUBJECT	B	RANK	ORG	W	N	S	H	D	LEV
			E			N	A	A	A	E	
			N			G	F	C	F	C	
671	001	CREATE ANOTHER BOMB SQUADRON	E	COL	CC	A	W	W	N	W	WIN
671	037	EMERGENCY LEAVE EXTENSION	D	LTC	DO	A	N	A	A	A	HAF
673	043	SECURITY POLICE SELECTION	E	MSG	SP	A	N	A	N	A	SAC
674	044	SUPPLY EXEMPTION CODES	E	CIV	LG	A	N	A	A	A	HAF
675	065	SEPARATE ISSUE EXCEPTION CODES	E	CIV	LG	A	A	A	N	A	SAC
676	019	ENGINE SHIPMENTS TO DEPOT	E	CIV	MA	A	D	D	N	D	SAC
677	N/A	PURCHASING COMMERCIALY PRODUCED BOOKS	C	CIV	DE	D	N	N	N	D	LOC
678	038	BASE MOBILITY MANNING	D	LTC	WS	A	A	A	N	A	SAC
679	N/A	REPRODUCING LOCAL BLANK FORMS	B	CIV	DE	W	N	N	N	W	LOC
680	N/A	WEARING OF SIDEARMS BY CONTROLLERS	Q	CAP	DO	D	N	N	N	D	LOC
681	N/A	CHART OF KEY PERSONNEL	B	CAP	DO	W	N	N	N	W	LOC
682	N/A	DAILY REAL TIME CHECK	B	CAP	DO	W	N	N	N	W	LOC
683	N/A	REQUALIFICATION TRAINING WAIVERS	D	MAJ	DO	D	N	N	N	D	LOC
684	N/A	PRIORITY UPGRADE LISTS	E	MAJ	DO	D	N	N	N	D	LOC
685	046	16-HR CREW DUTY DAY	E	MAJ	DO	A	D	A	N	A	SAC
686	039	TWO SORTIES PER CREW DAY	E	MAJ	DO	A	D	A	N	A	SAC
687	014	AFOSH SUPPLEMENTAL HISTORY FORMS	B	CAP	SG	A	A	A	A	A	HAF
688	025	RATE SCHEDULE - UTILITY CONTRACTS	C	CIV	LG	A	N	A	N	A	SAC
689	N/A	ORDERING CDC'S FOR UPGRADE	E	A1C	IS	D	N	N	N	D	LOC
690	013	SOF DUTIES FOR ALL RATED OFFICERS	E	MAJ	DO	A	A	A	N	A	SAC
691	070	EWO STUDY PROCEDURES	E	MAJ	DO	A	A	A	N	A	SAC
692	N/A	CURRENCY -- EWO AND CCP TRAINING	E	MAJ	DO	D	N	N	N	D	LOC
693	040	AIRCRAFT ENGINEERING STUDY	C	MSG	MA	A	N	A	N	A	SAC
694	N/A	CONSOLIDATE BITC RUNS	B	CIV	SM	D	N	N	N	D	LOC
695	062	USE OF REFUSED PER DIEM MONIES	B	CIV	AC	A	A	A	D	D	HAF
696	061	EMERGENCY LEAVE FORMS	E	CIV	AC	A	A	A	A	A	HAF
697	N/A	WEAR OF TROPICAL COMBAT BOOTS	Q	MSG	PA	D	N	N	N	D	LOC
698	087	OPERATIONAL MASTER UPDATE TAPES	B	A1C	IS	A	D	A	A	A	SAC
699	N/A	SELF-HELP STORE	C	1LT	IS	A	N	N	N	A	LOC
700	060	AWAITING PARTS -- BITS AND PIECES	E	SSG	LG	A	N	A	N	A	HAF
701	N/A	FUNDING RPM & REPAIR CONTRACTS	E	CIV	DE	W	N	N	N	W	LOC
702	023	MAX GROSS WT FOR B-52 TRAFFIC PATTERN	C	LTC	DO	A	D	A	N	A	SAC
703	N/A	SECURE VOICE COMMUNICATIONS REGULATION	B	MSG	IS	W	N	N	N	W	LOC
704	090	DELETE COMM ISOLATION PPLAN	B	SMS	IS	A	D	A	N	A	SAC
705	N/A	MILITARY DRIVING PRIV DURING DRUG REHAB	S	MET	SE	A	N	N	A	A	HAF
706	N/A	WEAR OF HEADGEAR AT BASE PARK	Q	TSG	DE	D	N	N	N	D	LOC
707	092	USE OF MESSAGE FOR PROCUREMENT ITEMS	E	CIV	DE	A	W	W	N	W	LOC
708	071	A/C GENERATION SUPERVISOR	D	MSG	MA	A	D	A	N	A	SAC
709	133	VAUB APPROVAL TO RENT VEHICLES	C	CIV	DE	A	A	A	A	A	HAF
710	091	FUND CIVILIAN OVERHIRES	D	CIV	DE	A	A	D	N	D	SAC
711	003	ARCHITECT-ENGINEER BID MINIMUM	E	CIV	DE	A	A	A	W	W	LOC
712	068	ELIMINATE USE OF SAC FORM 508	B	SGT	LG	A	D	A	N	A	SAC
713	N/A	WING CC AUTH FOR CAREER JOB RESERVATIONS	D	LTC	SP	D	N	N	N	D	LOC
714	N/A	MANPOWER SLOT FOR WG/BASE TEMPEST NCO	D	MSG	LG	W	N	N	N	W	LOC
715	N/A	PROMOTION ELIGIBILITY REINSTATEMENT PROC	E	SSG	LG	D	N	N	N	D	LOC
716	N/A	HOST COMMANDER APR INDORSEMENT	B	SSG	LG	D	N	N	N	D	LOC
717	069	USE AF FORM 2526/2525 ON GATES	C	SSG	LG	A	A	A	A	A	HAF

01/17/87

MODEL INSTALLATION PROGRAM
Fairchild AFB Washington
First 100 MIPs of 1986

(AS OF 2 JAN 87)

LOC	HHQ	SUBJECT	B	RANK	ORG	W	N	S	H	D	LEV
			E			N	A	A	A	E	
			N			G	F	C	F	C	
718	088	SQ CC DETERMINES POSITION QUALIFICATIONS	D	MSG	WS	A	D	D	N	D	SAC
719	041	FLAT BLACK PAINT FOR A/C PATCH	Q	1LT	MA	A	A	A	N	A	SAC
720	N/A	PER DIEM PAYMENTS FOR CREWMEMBERS	Q	MAJ	SE	D	N	N	N	D	LOC
721	N/A	ANNUAL REVIEW OF SUPPORT AGREEMENTS	B	MSG	IS	D	N	N	N	D	LOC
722	095	CHIEF QAE APPOINTMENTS	D	CIV	LG	A	N	A	A	A	HAF
723	N/A	SAC FORM 79/ RECORDS MANAGMENT PROCESS	B	CIV	DA	D	N	N	N	D	LOC
724	048	SEPARATE GTR FOR EXCESS BAGGAGE	Q	MET	LG	A	N	A	A	A	HAF
725	N/A	WORK ORDER LIMITATIONS A-E DESIGN	E	CIV	DE	W	N	N	N	W	LOC
726	N/A	PURCHASE ORDER WAIVER REQUESTS	E	CAP	DE	W	N	N	N	W	LOC
727	051	FAMILY HOUSING BROCHURES	D	MET	DE	A	N	A	N	A	SAC
728	N/A	OFFICER'S CLUB BILLING POLICY	Q	MAJ	SE	W	N	N	N	W	LOC
729	231	SUPERVISORY MIX FOR CE	D	MET	CE	A	N	A	N	A	SAC
730	070	EWO GROUND TRAINING CLASSES	E	CAP	DO	A	A	A	N	A	SAC
731	098	DELETE AMS STUDY	B	SMS	MA	A	D	A	N	A	SAC
732	071	AFSC CHANGE FOR A/C GENERATION SUPER.	D	LTC	MA	A	D	A	N	A	SAC
733	104	ACCELERATE AIRCRAFT GENERATION	E	A1C	LG	A	D	A	A	A	HAF
734	067	TRANSFER OF NON-EAID TO BCE	E	MAJ	DO	A	D	A	N	A	SAC
735	073	ORDER CUSTOM DRAPES THROUGH CONTRACTING	E	CIV	LG	A	A	A	A	A	HAF
736	N/A	JUSTIFICATION FOR MOBILE REFUELING	B	1LT	LG	D	N	N	N	D	LOC
737	050	ENLISTED PROPERTY CUSTODIANS	D	CAP	SG	A	N	A	N	A	SAC
738	049	APPT LTRS SIGNED BY HOSP ADMINISTRATOR	D	MET	SG	A	N	A	N	A	SAC
739	053	ELIM AF FORM 2426	B	SSG	DO	A	W	W	N	W	LOC
740	110	WEAR OF FLIGHT SUIT FOR DUTY UNIFORM	Q	1LT	DO	A	N	N	N	A	LOC
741	074	DELETE COMMAND QUALIFICATION STANDARD	D	CIV	DE	A	A	A	N	A	SAC
742	N/A	INCR CONTRACTING OFFICER APPROVAL AUTH	D	CIV	DE	W	N	N	N	W	LOC
743	N/A	VOLUNTARY FURLOUGH PROGRAM	C	CIV	DE	D	N	N	N	D	LOC
744	N/A	TDY BACKGROUND MATERIAL MAINTENANCE	E	SSG	SG	W	N	N	N	W	LOC
745	076	RETAIN COPY OF AF FORM 1141	E	CIV	CC	A	A	A	A	A	HAF
746	077	MASTER INSTRUCTOR PROGRAM -- SURVIVAL	D	LTC	CC	A	W	W	N	W	LOC
747	094	UNSUPERVISED FLYING BY BASIC QUAL PILOTS	E	LTC	DO	A	D	A	N	A	SAC
748	095	CHIEF QAE APPOINT QAE'S	D	LTC	LG	A	N	A	A	A	HAF
749	114	REVISE AF FORM 504	B	SRA	MA	A	A	A	N	A	SAC
750	072	ICTS CREDIT IN WST	E	MAJ	DO	A	W	W	N	W	LOC
751	N/A	DEFENSIVE ACTION BOMB RUNS TO ICTS	E	MAJ	DO	D	N	N	N	D	LOC
752	N/A	AFSC CHANGE FOR A/C MAINT MANAGER	D	LTC	MA	D	N	N	N	D	LOC
753	N/A	PARKING AROUND HQS BUILDING	Q	CIV	DO	D	N	N	N	D	LOC
754	134	TECHNICAL DESIGN LEVEL ALLOWABLE	D	MET	DE	A	N	A	N	A	SAC
755	N/A	\$1000 SUPPLY WARRANT FOR CE	E	CIV	DE	D	N	N	N	D	LOC
756	105	6% APPLIANCE BACKUP STOCK	Q	MAJ	DE	A	A	A	N	A	SAC
757	N/A	COMPLETION OF SF 85 FOR PRIOR MILITARY	Q	CIV	LG	W	N	N	N	W	LOC
758	078	DISASSEMBLY OF THE BOOM DROGUE ADAPTER	E	SSG	MA	A	A	D	N	D	SAC
759	138	FOOD SERVICE EQUIPMENT LISTING	B	MET	DE	A	W	W	N	W	LOC
760	N/A	FAST ACTION SERVICE TECHNIQUE TEAM	Q	CIV	DE	W	N	N	N	W	LOC
761	N/A	DELETE SELF INSPECTION PROGRAM	B	2LT	DE	D	N	N	N	D	LOC
762	N/A	ELIM "SAC" IN THREATCOMS	B	SSG	SP	D	N	N	N	D	LOC
763	109	PA AUTHORITY FOR AIRLIFT TO WING CC	D	MSG	PA	A	D	W	N	W	LOC
764	079	TANKER CREW CHIEF ESCAPE AND EVASION TNG	E	1LT	IN	A	W	W	N	W	LOC

MODEL INSTALLATION PROGRAM
Fairchild AFB Washington
First 100 MIPS of 1986
(AS OF 2 JAN 87)

LOC HHQ SUBJECT

B RANK ORG W N S H D LEV
E N A A A E
N G F C F C

765 093 ELIM FUNCTIONAL LIBRARY APPT LETTER
766 081 ELIM SAC FORM 839
767 082 ONE FACT/QUESTION PER ISOPREP
768 N/A COMMISSARY SHOPPING
769 053 ELIM AF FORM 2426
770 N/A PASSENGERS ON ANG FLIGHTS

B CIV DA A N A N A SAC
B MSG DA A N A N A SAC
S 1LT IN A D D N D SAC
Q SGT DO W N N N W LOC
B MET DA W N N N W LOC
Q SGT DO D N N N D LOC

END

7-87

DTIC